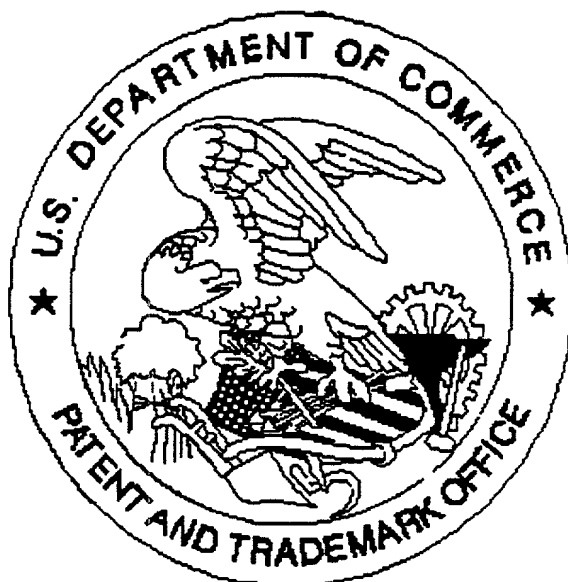


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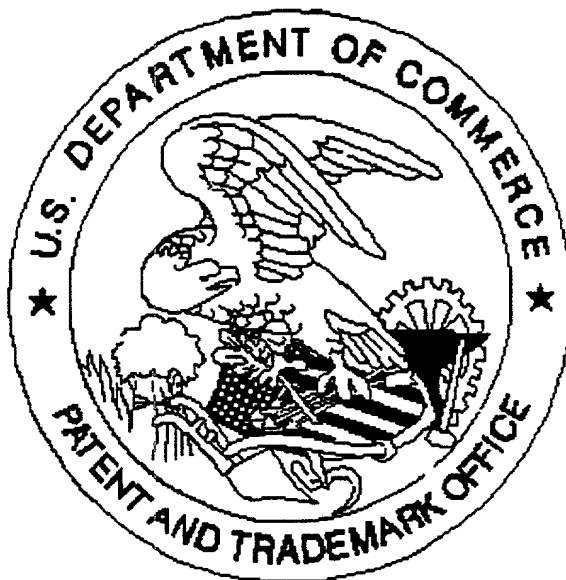
Application deficiencies found during scanning:

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for scanning. (Document title)

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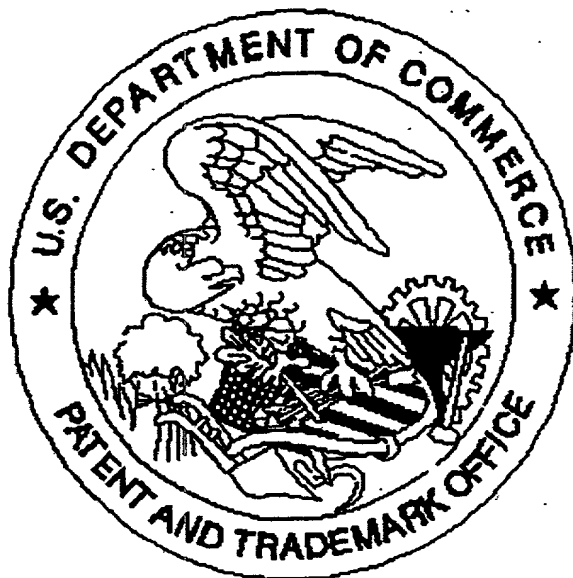
Application deficiencies found during scanning:

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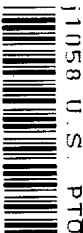
☐ Page(s) _____ of _____ were not present
for scanning. (Document title)

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for scanning. (Document title)

DRAWINGS FIG. 4 A, B, C, D, 6, 7A, B ARE DARK

☐ *Scanned copy is best available.*

12/21/01



12-28-01

A

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (03-01)
Approved for use through 10/31/2002 OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	11321-P011C1D2
First Inventor	Daniel T. COLBERT
Title	Method for Cutting Single-Wall Carbon Nanotubes
Express Mail Label No.	EL7657599942US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- ☒ Applicant claims small entity status.
See 37 CFR 1.27.
- ☒ Specification [Total Pages **58**]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **14**]
- ☒ Oath or Declaration [Total Pages **6**]
 - ☐ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - ☒ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☒ Application Data Sheet. See 37 CFR 1.76

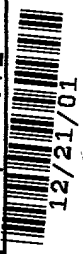
ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies); or
 - ☐ paper
 - ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement of Attorney (when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449
- ☒ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☒ Other: Check for filing fees

PTO
10/02/671
12/21/01



18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

<input type="checkbox"/> Continuation	<input checked="" type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part (CIP)	of prior application No.: 10 / 000,746
Prior application information:		Examiner Jack I. Berman	Group Art Unit: 2881

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)		or <input checked="" type="checkbox"/> Correspondence address below
Name	Winstead Sechrest & Minick, P.C.		
Address	2400 Bank One Center 910 Travis Street		
City	Houston	State	TX
Zip Code	77002	Telephone	713-650-2714
Country	US	Fax	713-650-2400

Name (Print/Type)	Hugh R. Kress, Esq.	Registration No. (Attorney/Agent)	36,574
Signature	<i>Hugh R. Kress</i>	Date	21-DEC-2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

CLAIMS AS FILED - PART I

(Column 1)

(Column 2)

SMALL ENTITY

OF

OTHER THAN
SMALL ENTITY

RATE	FEE
333.00	\$ <u>370</u>
x \$ <u>9</u> =	333.00
x <u>42</u> =	210.00
+ <u> </u> =	
TOTAL	913.00

RATE	FEE
	\$ _____
x \$ _____ =	0.00
x _____ =	
+ _____ =	
TOTAL	0.00

* If the difference in column 1 is less than zero, enter "0" in column 2

CLAIMS AS AMENDED - PART II

(Column 1)

(Column 2)

(Column 3)

SMALL ENTITY

OR

OTHER THAN
SMALL ENTITY

RATE	ADDITIONAL FEE
x \$_____ =	
x _____ =	
+ _____ =	
TOTAL ADDITIONAL FEE	

RATE	ADDITIONAL FEE
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL ADDITIONAL FEE	

TOTAL ADDIT. FEE		
RATE	ADDITIONAL FEE	
x \$ _____ =		
x _____ =		
+ _____ =		
TOTAL ADDIT. FEE		

RATE	ADDITIONAL FEE
x \$_____ =	
x _____ =	
+ _____ =	
TOTAL DDIT FEE	

TOTAL		
ADDIT. FEE		
RATE	ADDI- TIONAL FEE	
x \$ ____ =		
x ____ =		
+ ____ =		
TOTAL		
ADDIT. FEE		

RATE	ADDITIONAL FEE
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	
ADDITIONAL FEE	

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

**** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".**

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Daniel T. Colbert et al.
For: METHOD FOR CUTTING SINGLE-WALL CARBON NANOTUBES
Atty Dkt: 11321-P011C1D2

§ Serial No: To Be Assigned
§ (division of application
§ Serial No. 10/000,746)
§ Filed: HEREWITH
§ Group Art Unit: 2881(anticipated)
§ Prior Examiner: Jack I. Berman
§ 703.308.4849

U.S. Patent and Trademark Office
BOX: PATENT APPLICATION
Washington, D.C. 20231

"EXPRESS MAIL" MAILING LABEL	
Number. <u>EL765759942US</u>	
Pursuant to 37 C.F.R. § 1.10, I hereby certify that I am personally depositing this paper or fee with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above in a sealed envelope (a) having the above-numbered Express Mail label and sufficient postage affixed, and (b) addressed to the U.S. Patent and Trademark Office, Box: Patent Application, Washington, D.C., 20231.	
<u>12/01/01</u> Date	<u>Wanda AlexanderWarren</u> Signature
<u>Wanda AlexanderWarren</u> Printed Name	

REQUEST FOR FILING DIVISIONAL APPLICATION
UNDER 37 C.F.R. § 1.53(b)

This is a request for filing a divisional application under Rule 53(b) (37 C.F.R. § 1.53(b)) of co-pending prior application Serial No. 10/000,746, filed on November 30, 2001 entitled "MACROSCOPICALLY MANIPULABLE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES" which is a continuation of application Serial No. 09/242,040 filed on September 13, 1999 which is the 35 U.S.C. § 371 national application of International Application Number PCT/US97/13896 as originally filed on August 8, 1997, which designated the United States.

- ☒ 1. Enclosed is a copy of the co-pending prior application Serial No. 10/000,746 filed on November 30, 2001 which is a continuation of Serial No. 09/242,040 filed on September 13, 1999 which is the 35 U.S.C. § 371 national application of

International Application Number PCT/US97/13896 as originally filed on August 8, 1997, which designated the United States, claiming priority to provisional application Serial No. 60/023,732 filed on August 8, 1996, including the specification, claims, drawings, and declaration. The undersigned hereby incorporates co-pending prior continuation application Serial No. 10/000,746, prior application Serial No. 09/242,040, International Application Number PCT/US97/13896, and provisional application Serial No. 60/023,732 herein by reference and verifies that the enclosed papers are a copy of the co-pending prior continuation application Serial No. 10/000,746 as originally filed and identified above, that no amendments (if any) referred to in the declaration filed to complete the prior application introduced new matter therein, and further that this statement was made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.

- (a) ☒ The inventorship is the same as co-pending prior continuation application Serial No. 10/000,746.
- (b) ☐ Deletion of inventor(s). Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. § 1.63(d)(2) and 1.33(b).
- (c) ☐ Priority of foreign patent application number _____, filed _____ in _____ is claimed under 35 U.S.C. § 119(a)-(e). The certified copy:
☐ is enclosed.
☐ has been filed in the prior Application Serial No. _____

- ☐ 2. The Assistant Commissioner is requested to grant Applicants a filing date in accordance with Rule 1.53, and supply Applicants with a Notice of Missing Parts in due course, in accordance with the provisions of Rule 1.53(f).

IN RE: APPLICATION S.N. TBA
REQUEST FOR FILING DIVISIONAL APPLICATION UNDER 37 C.F.R. § 1.53(b)

- ☒ 3. Enclosed is a check in the amount of \$913.00 to cover the filing fee as calculated below and the fee for any new claims added in the Preliminary Amendment referred to in Part No. 9 below.

CLAIMS FOLLOWING ENTRY OF PRELIMINARY AMENDMENT

FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE
Basic Fee -----				\$370.00
Total Claims	57- 20 =	37 ×	\$9 =	\$333.00
Independent Claims	8- 3 =	5 ×	\$42 =	\$210.00
Multiple Dependent Claim(s) -----				\$0.00
TOTAL FILING FEES:				\$913.00

- ☒ 4. Applicant is entitled to Small Entity Status for this application.
- ☐ (a) A small entity statement is enclosed.
- ☒ (b) A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.
- ☒ 5. If the check is missing or insufficient, the Commissioner is hereby authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required for any reason relating to this application, or credit any overpayment, to Winstead Sechrest & Minick Deposit Account No. 23-2426 referencing 11321-P011C1D2.
- ☐ 6. Enclosed is a copy of the current Power of Attorney in the prior application.

IN RE: APPLICATION S.N. TBA
REQUEST FOR FILING DIVISIONAL APPLICATION UNDER 37 C.F.R. § 1.53(b)

- 1002674-122101
FOI b7E b7C b7D
- ☒ 7. Address all future communications to:
- Hugh R. Kress
WINSTEAD SECHREST & MINICK P.C.
2400 Bank One Center
910 Travis Street
Houston, Texas 77002
(713) 650-2714 (voice)
(713) 650-2400 (fax)
- ☒ 8. The prior application is presently assigned to William Marsh Rice University.
- ☒ 9. Enclosed is a Preliminary Amendment. Any additional fees incurred because of the Preliminary Amendment are included in the check at No. 3 above and said fee has been calculated after calculation of claims and after amendment of claims by the Preliminary Amendment.
- ☒ 10. Cancel in this application claims 1-83 of the prior application before calculating the filing fee.
- ☒ 11. This application is a division of co-pending prior application Serial No. 10/000,746, filed on November 30, 2001, which is a continuation of prior application Serial No. 09/242,040 filed on September 13, 1999, which is the 35 U.S.C. § 371 national application of International Application Number PCT/US97/13896 filed on August 8, 1997, which designated the United States, claiming priority to provisional U.S. patent application Serial Number 60/023,732 filed on August 8, 1996. Each of the foregoing applications is commonly assigned to the assignee of the present invention and is hereby incorporated herein by reference in its entirety.
- This application discloses subject matter related to the subject matter of U.S. patent application Serial Number 09/380,545, filed on September 3, 1999 in the name of Richard E. Smalley et al., entitled "Carbon Fibers Formed From Single-

Wall Carbon Nanotubes,” which application is commonly assigned to the assignee of the present invention and hereby incorporated herein by reference in its entirety.--

- ☐ 12. Enclosed are formal drawings.
- ☐ 13. An Information Disclosure Statement (IDS) is enclosed.
- ☐ (a) PTO/SB/08A.
- ☐ (b) Copies of IDS citations.
- ☐ 14. Transfer the sequence information, including the computer readable form previously submitted in the parent application, Serial No. _____ filed _____, for use in this application. **Under 37 C.F.R. § 1.821(e), Applicant states that the paper copy of the sequence listing in this application is identical to the computer readable copy in parent application Serial No. _____ filed _____. Under 37 C.F.R. § 1.821(f), Applicant also states that the information recorded in computer readable form is identical to the written sequence listing.**
- ☐ 15. Other: _____.
- ☒ 16. Return Receipt Postcard (should be specifically itemized).

Respectfully submitted,

Date: 21-DEC-2001

Hugh R. Kress

Hugh R. Kress
Reg. No. 36,574
WINSTEAD SECHREST & MINICK P.C.
2400 Bank One Center
910 Travis Street
Houston, Texas 77002
(713) 650-2714 (voice)
(713) 650-2400 (fax)

ATTORNEY FOR ASSIGNEE